

011604

16805 U.S. PTO

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PTO/SB/05 (12/97)
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

| | | | |
|--|-----------------|-------------|----|
| Attorney Docket No. | SVL920030111US1 | Total Pages | 60 |
| First Named Inventor or Application Identifier | | | |
| Kyle J. Charlet | | | |
| Express Mail Label No. | ER540256833US | | |

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|---|------------------------------|--|----------------|------|-------------------|--|--|---------|------------------------------|--|--|------|----------------|-------|------|---------|---------------|-----------|----------------|--|--|-----|----------------|
| APPLICATION ELEMENTS See MPEP chapter 600 concerning utility patent application contents. | | ADDRESS TO: Commissioner for Patents Mail Stop Patent Application P.O. Box 1450 Alexandria, VA 22313-1450 | | | | | | | | | | | | | | | | | | | | | |
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (Submit an original, and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification (Total Pages) <u>45</u> (Preferred arrangement set forth below)</p> <ul style="list-style-type: none">- Descriptive title of the invention- Cross References to Related Application- Statement Regarding Fed sponsored R & D- Reference to Microfiche Appendix- Background of the Invention- Brief Summary of the Invention- Brief Description of the Drawings (if filed)- Detailed Description- Claim(s)- Abstract of the Disclosure <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) (Total Pages) <u>12</u></p> <p>4. Oath or Declaration (Total Pages) <u>3</u></p> <p>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation /divisional with Box 17 completed) [Note Box 5 below]</p> <p>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>5. <input type="checkbox"/> Incorporation by Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.</p> | | <p>6. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)</p> <p>a. <input type="checkbox"/> Computer Readable Copy</p> <p>b. <input type="checkbox"/> Paper Copy (identical to computer copy)</p> <p>c. <input type="checkbox"/> Statement verifying identify of above copies</p> <p>ACCOMPANYING APPLICATION PARTS</p> <p>8. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>9. <input type="checkbox"/> 37 CFR 3.73(b) Statement (when there is an assignee) <input checked="" type="checkbox"/> Power of Attorney</p> <p>10. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>11. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations</p> <p>12. <input type="checkbox"/> Preliminary Amendment</p> <p>13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) (Should be specifically itemized)</p> <p>14. <input type="checkbox"/> Small Entity <input type="checkbox"/> Statement filed in prior application, Status still proper and desired</p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) if foreign priority is claimed)</p> <p>16. <input checked="" type="checkbox"/> Other: Express Mail Certificate</p> | | | | | | | | | | | | | | | | | | | | | |
| <p>17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:</p> <p><input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.:</p> | | | | | | | | | | | | | | | | | | | | | | | |
| <p>18. CORRESPONDENCE ADDRESS</p> <p><input checked="" type="checkbox"/> Customer Number or Bar Code Label <u>36491</u></p> <p><input type="checkbox"/> Or Correspondence address below</p> <table border="1"><tr><td>NAME</td><td colspan="3">David J. McKenzie</td></tr><tr><td>ADDRESS</td><td colspan="3">8 East Broadway Suite 600</td></tr><tr><td>CITY</td><td>Salt Lake City</td><td>STATE</td><td>Utah</td></tr><tr><td>COUNTRY</td><td>United States</td><td>TELEPHONE</td><td>(801) 994-4646</td></tr><tr><td></td><td></td><td>FAX</td><td>(801) 531-1929</td></tr></table> <p>Assignee Name: INTERNATIONAL BUSINESS MACHINES CORPORATION Assignee Residence: Armonk, New York</p> | | | | NAME | David J. McKenzie | | | ADDRESS | 8 East Broadway Suite 600 | | | CITY | Salt Lake City | STATE | Utah | COUNTRY | United States | TELEPHONE | (801) 994-4646 | | | FAX | (801) 531-1929 |
| NAME | David J. McKenzie | | | | | | | | | | | | | | | | | | | | | | |
| ADDRESS | 8 East Broadway Suite 600 | | | | | | | | | | | | | | | | | | | | | | |
| CITY | Salt Lake City | STATE | Utah | | | | | | | | | | | | | | | | | | | | |
| COUNTRY | United States | TELEPHONE | (801) 994-4646 | | | | | | | | | | | | | | | | | | | | |
| | | FAX | (801) 531-1929 | | | | | | | | | | | | | | | | | | | | |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.

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FEE TRANSMITTAL

Note: Effective October 1, 2001.
Patent fees are subject to annual revision.

Complete If Known

| | |
|------------------------|------------------|
| Applicati n Number | Not yet Assigned |
| Filing Date | January 16, 2004 |
| First Named Inventor | Kyle J. Charlet |
| Group Art Unit | |
| Examiner Name | |
| Attorney Docket Number | SVL920030111US1 |

TOTAL AMOUNT OF PAYMENT **\$ 770**

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number: 09-0460

Deposit Account Name: IBM CORPORATION

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 ☐ Charge the Issue Fee In 37 CFR at the Mailing of the Notice of Allowance

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

FEE CALCULATION**1. FILING FEE**

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|----------|----------|----------|----------|------------------------|----------|
| 1001 | 770 | 2001 | 385 | Utility filing fee | 770 |
| 1002 | 340 | 2002 | 170 | Design filing fee | |
| 1003 | 530 | 2003 | 265 | Plant filing fee | |
| 1004 | 770 | 2004 | 385 | Reissue filing fee | |
| 1005 | 160 | 2005 | 80 | Provisional filing fee | |

SUBTOTAL (1)**\$ 770****2. CLAIMS**

| Total Claims | Extra | Fee from below | Fee Paid |
|----------------------|---------|----------------|----------|
| 20 | -20 = 0 | x 18 = 0 | 0 |
| Ind. Claims 3 | -3 = 0 | x 86 = 0 | 0 |
| Multiple Dep. Claims | 0 | x 290 = 0 | 0 |

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description |
|----------|----------|----------|----------|-----------------------------------|
| 1202 | 18 | 2202 | 9 | Claims in excess of 20 |
| 1201 | 86 | 2201 | 43 | Independent claims in excess of 3 |
| 1203 | 290 | 2203 | 145 | Multiple dependent claim |

SUBTOTAL (2)**\$ 0****FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity | | Small Entity | | Fee Description | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Fee Code | Fee (\$) | Fee Code | Fee (\$) | | |
| 1051 | 130 | 2051 | 65 | Surcharge - late filing fee or oath | |
| 1052 | 50 | 2052 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 1053 | 130 | 1053 | 130 | Non-English specification | |
| 1812 | 2520 | 1812 | 2520 | For filing a request for reexamination | |
| 1804 | 920* | 1804 | 920* | Requesting publication of SIR prior to Examiner action | |
| 1805 | 1840* | 1805 | 1840* | Requesting publication of SIR after Examiner action | |
| 1251 | 110 | 2251 | 55 | Extension for reply within first month | |
| 1252 | 420 | 2252 | 210 | Extension for reply within second month | |
| 1253 | 950 | 2253 | 475 | Extension for reply within third month | |
| 1254 | 1480 | 2254 | 740 | Extension for reply within fourth month | |
| 1255 | 2010 | 2255 | 1005 | Extension for reply within fifth month | |
| 1401 | 330 | 2401 | 165 | Notice of Appeal | |
| 1402 | 330 | 2402 | 165 | Filing a brief in support of an appeal | |
| 1403 | 290 | 2403 | 145 | Request for oral hearing | |
| 1451 | 1510 | 1451 | 1510 | Petition to institute a public use proceeding | |
| 1452 | 110 | 2452 | 55 | Petition to revive - intentional | |
| 1453 | 1330 | 2453 | 665 | Petition to revive - unintentional | |
| 1501 | 1330 | 2501 | 665 | Utility issue fee | |
| 1502 | 480 | 2502 | 240 | Design issue fee | |
| 1503 | 640 | 2503 | 320 | Plant issue fee | |
| 1460 | 130 | 1460 | 130 | Petitions to the Commissioner | |
| 1807 | 50 | 1807 | 50 | Petitions related to provisional applications | |
| 1806 | 180 | 1806 | 180 | Submission of Information Disclosure Stmt | |
| 8021 | 40 | 8021 | 40 | Recording each patent assignment per property (times number of properties) | 0 |
| 1809 | 770 | 2809 | 385 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 1814 | 110 | 2814 | 55 | Statutory disclaimer (37 CFR 1.120(d)) | |

Other fee (specify) _____

*Reduced by Basic Filing Fee

SUBTOTAL (3)**\$ 0****SUBMITTED BY**

Typed or Printed Name David J. McKenzie

Signature David J. McKenzie

Date Jan 16, 2004

Complete (if applicable)

Reg. Number 46,919

Deposit Account User ID

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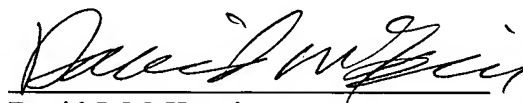
CERTIFICATE OF MAILING BY "EXPRESS MAIL"

"Express Mail" Mailing Label No.: ER540256833US

Date of Deposit: January 16, 2004

I hereby certify that this patent application in the name of Kyle Jeffrey Charlet, Douglas Michael Frederick Hembry, Christopher M. Holtz, and Carol M. Wiedenmann for APPARATUS, SYSTEM, AND METHOD FOR DEFINING A METADATA SCHEMA TO FACILITATE PASSING DATA BETWEEN AND EXTENSIBLE MARKUP LANGUAGE DOCUMENT AND A HIERARCHICAL DATABASE, together with the drawings, a Declaration, Power of Attorney, Information Disclosure Statement, PTO Form 1449, and Copies of Cited References are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above in an envelope addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,



David J. McKenzie
Reg. No. 46,919
Attorney for Applicant

Date: January 16, 2004

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